



Department of Corporations'
***Investment Adviser
Education Seminar***
October 12, 2006

Following the overwhelming success of our pilot seminar in San Francisco, the California Department of Corporations is pleased to announce our Investment Adviser Education Seminar in the Orange County area. We invite you to attend this free seminar.

Date: Thursday, October 12, 2006

Time: 1:00 pm to 5:00 pm (check-in begins at 12:30)

Location: Anaheim Convention Center
800 West Katella Avenue
Room 206B
Anaheim, CA 92802

Listed below are some of the topics we will be covering:

- ◆ **Form ADV, Form U4, and Form U5 Filing Requirements**
- ◆ **Books and Records (No-Action Letters, Custody, etc.)**
- ◆ **Reporting Requirements**
- ◆ **The Examination Process**
- ◆ **Administrative Penalties**

Please respond via e-mail to RAE@corp.ca.gov or by telephone to David Byrd at (415) 972-8581 by **October 2, 2006** and include the following information in your RSVP:

Firm Name

E-mail address

SRD No. 923- and/or IARD/CRD No.

Name of attendee(s)

SEATS ARE LIMITED TO THE FIRST 150. PLEASE RESERVE EARLY!!!